

Records Management

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EPA Records Schedule 1021

Status: Draft, 12/31/2013

Title: Planning and Resource Allocation

Program: All Programs

Applicability: Agency-wide

Function: 304 - Planning and Resource Allocation

NARA Disposal Authority:

- DAA-0412-2013-0006-0001 (Item a)
- DAA-0412-2013-0006-0002 (Item b)

Description:

This schedule covers records related to planning and resource allocation activities determining strategic direction, identifying, and establishing programs and processes, allocating resources (capital and labor) among those programs and processes, and developing environmental and administrative policies and programs. Includes: budget formulation activities undertaken to determine priorities for future spending and to develop an itemized forecast of future funding and expenditures during a targeted period of time and the collection and use of performance information to assess the effectiveness of programs and develop budget priorities; capital planning processes for ensuring that appropriate investments are selected for capital expenditures; strategic planning activities to determine annual and long-term goals and the identification of the best approach for achieving those goals; and workforce planning processes for identifying the workforce competencies required to meet EPA's strategic goals and for developing the strategies to meet these requirements.

Disposition Instructions:

Item a: Historically significant planning and resource allocation records

Includes, but is not limited to:

- Annual headquarters operating guidance paper and regional guidance plan covering the objectives of EPA, the priority and strategy for their attainment;
- Management studies, including staffing, analyses of administrative policies and procedures, manpower surveys, organization and methods surveys and studies, management improvement, and related records;
- Organizational plans related to the establishment and organization of EPA, missions, functions and functional statements, organizational charts, and delegations of authority;
- Program development files documenting the development of environmental programs, program priorities and objectives, program evaluation and planning major shifts in the focus of existing programs, new initiatives, and similar records; and
- Program policy planning records, including formulating policies and plans in areas which cross-cut program functions, and records related to developing and analyzing key policy and legislative issues impacting on environmental programs.

NARA Disposal Authority: DAA-0412-2013-0006-0001

- **Permanent**
- Close upon completion of activity, project, or topic, or at the end of the fiscal year.
- Transfer electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Item b: Routine planning and resource allocation records

Includes, but is not limited to: Agency program plans review files, including headquarters and regional office program plans, goals, and requests for changes to the plans, regional guidance reports and revisions, and related records.

NARA Disposal Authority: DAA-0412-2013-0006-0002

- **Disposable**
- Close at the end of the fiscal year.

- Destroy 10 years after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records internet site [<http://www.epa.gov/records/tools/erks.htm>].

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

IT planning - records related to planning for information and technology management, including enterprise architecture records, are covered by schedule 1012.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as EPA 0105a(3), EPA 0106a(3), EPA 0145a(3), EPA 0190a(3), and EPA 0194a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (EPA 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 1012

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at: http://intranet.epa.gov/records/schedule/consolidation/files/1021_Planning_Crosswalk.docx.

Entry: 09/12/2012

EPA Approval: 08/12/2013

NARA Approval: Pending

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